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PTO/SB/01 (12-97)  
Approved for use through 9/30/00. OMB 0651-0032  
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|   |                               |   |
|---|-------------------------------|---|
| <b>DECLARATION FOR UTILITY OR<br/>DESIGN<br/>PATENT APPLICATION<br/>(37 CFR 1.63)</b> | <b>Attorney Docket Number</b> | 20016-96  |
|   | <b>First Named Inventor</b>   | Arthur E. Schwartz  |
|   | <b>COMPLETE IF KNOWN</b>      |   |
|   | <b>Application Number</b>     | 09/ 330,428   |
|   | <b>Filing Date</b>            | June 8, 1999  |
|   | <b>Group Art Unit</b>         |   |
| <input type="checkbox"/> Declaration Submitted with Initial Filing                    | OR                            | <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required) |
| <b>Examiner Name</b>  |                               |   |

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**INTRAVASCULAR SYSTEMS FOR CORPOREAL COOLING**

the specification of which *(Title of the Invention)*

☐ is attached hereto  
OR  
☒ was filed on (MM/DD/YYYY) **June 8, 1999** as United States Application Number or PCT International Application Number **09/330,428** and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed     | Certified Copy Attached? |                          |
|-------------------------------------|---------|----------------------------------|--------------------------|--------------------------|--------------------------|
|                                     |         |                                  |                          | YES                      | NO                       |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                                     |         |                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (MM/DD/YYYY) |
|-----------------------|--------------------------|
|                       |                          |

☐ Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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## DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

| U.S. Parent Application or PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent Number (if applicable) |
|--|---------------------------------|--------------------------------------|
|  |                                 |                                      |

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: ☐ Customer Number  OR ☒ Registered practitioner(s) name/registration number listed below


| Name               | Registration Number | Name            | Registration Number |
|--------------------|---------------------|-----------------|---------------------|
| Michael I. Wolfson | 24,750              | Morey B. Wildes | 36,968              |
| William H. Dippert | 26,723              |                 |                     |
| R. Lewis Gable     | 22,479              |                 |                     |

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☐ Customer Number  OR ☒ Correspondence address below

|         |                                 |           |                |     |                |
|---------|---------------------------------|-----------|----------------|-----|----------------|
| Name    | William H. Dippert              |           |                |     |                |
| Address | Cowan, Liebowitz & Latman, P.C. |           |                |     |                |
| Address | 1133 Avenue of the Americas     |           |                |     |                |
| City    | New York                        | State     | NY             | ZIP | 10036-6799     |
| Country | USA                             | Telephone | (212) 790-9200 | Fax | (212) 575-0671 |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

|  |   |   |                        |             |      |
|--|---|---|------------------------|-------------|------|
| Name of Sole or First Inventor:        |   | <input type="checkbox"/> A petition has been filed for this unsigned inventor |                        |             |      |
| Given Name (first and middle (if any)) |   |   | Family Name or Surname |             |      |
| Arthur E.                              |   |   | SCHWARTZ               |             |      |
| Inventor's Signature                   |  |   |                        |             | Date |
| Residence: City                        |   | State   | Country                | Citizenship |      |
| Englewood                              |   | NJ  | US                     | US          |      |
| Post Office Address                    |   |   |                        |             |      |
| 393 Gloucester Street                  |   |   |                        |             |      |
| Post Office Address                    |   |   |                        |             |      |
| City                                   | State   | ZIP   | Country                |             |      |
| Englewood                              | NJ  | 07631   | US                     |             |      |

☐ Additional inventors are being named on the supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)  
20016-96

Applicant, Patentee, or Identifier: Arthur E. SCHWARTZ

Application or Patent No.: To be assigned

Filed or Issued: To be assigned

Title: INTRAVASCULAR SYSTEMS FOR CORPOREAL COOLING

I hereby state that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN The Trustees of Columbia University in the City of New York

ADDRESS OF SMALL BUSINESS CONCERN West 116th Street and Broadway  
New York, NY 10027

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

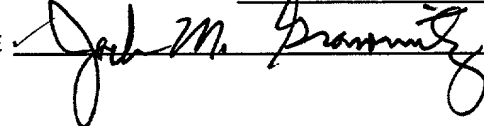
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Jack M. Granowitz

TITLE OF PERSON IF OTHER THAN OWNER Director

ADDRESS OF PERSON SIGNING Rm 363 Engineering Terrace, 500 W. 120th St., NY, NY 10027

SIGNATURE



DATE 8/9, 1999